



01-16-02

GP 2768  
2/6/

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. MBHB 99,853)

PATENT

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JAN 22 2002

Technology Center 2100

In re Application of:

Kaminski et al.

Serial No.: 09/475,534

Filed: December 30, 1999

For: Automated Trading Exchange System  
Having Integrated Quote Risk Monitoring  
and Integrated Quote Modification Services

Art Unit: 2768

Examiner: To be assigned

Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER

In regard to the above identified application:

1. We are transmitting herewith the attached:
  - a. Information Disclosure Statement (IDS);
  - b. Form PTO-1449 including (54 cited References);
  - c. Return Receipt Postcard.
2. With respect to fees:
  - a. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.
3. **CERTIFICATE OF MAILING BY "EXPRESS MAIL" UNDER 37 CFR § 1.10:** The undersigned hereby certifies that this Transmittal Letter and the papers, as described hereinabove, are being deposited with the United States Postal Service with sufficient postage as "Express Mail Post Office to Addressee" in a box addressed to: Commissioner for Patents, Washington, D.C. 20231, on January 14, 2002. Express Mail No. EL603711669US.

By:

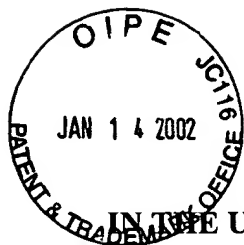
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Chicago, IL 60606



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**INFORMATION DISCLOSURE STATEMENT**

**Commissioner for Patents  
Washington, D.C. 20231**

Dear Sir:

Pursuant to 37 C.F.R. Section 1.97 - 1.99, the Applicant wishes to make the following references of record in the above-identified application. This Information Disclosure Statement is in compliance with the continuing duty of candor as set forth in 37 C.F.R. Section 1.56. Copies of the references cited below are enclosed. These references are also listed on the enclosed PTO Form 1449.

In the judgment of the undersigned, portions of the listed references may be material to the Examiner's consideration of the presently pending claims. However, the references have not been reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative relevance between references, whether cited in this or prior statements. This statement is not a representation that the listed references have effective dates early enough to be "prior art" within the meaning of 35 U.S.C. Section 102 or Section 103.

**United States Patents**

1. Kalmus et al., United States Patent No. 4,674,044, issued June 16, 1987.
2. Wagner, United States Patent No. 4,903,201, issued February 20, 1990.
3. Wagner, United States Patent No. 4,980,826, issued December 25, 1990.

4. Kramer, United States Patent No. 5,038,284, issued August 6, 1991.
5. Lupien et al., United States Patent No. 5,101,353, issued March 31, 1992.
6. Silverman, et al., United States Patent No. 5,136,501, issued August 4, 1992.
7. Gutterman et al., United States Patent No. 5,297,031, issued March 22, 1994.
8. Hartheimer et al., United States Patent No. 5,305,200, issued April 19, 1994.
9. Lupien et al., United States Patent No. 5,689,652, issued November 18, 1997.
10. Patterson, Jr., et al., United States Patent No. 5,744,877, issued June 30, 1998.
11. Patterson, Jr., et al., United States Patent No., 5,793,301, issued August 11, 1998.
12. Patterson, Jr., et al., United States Patent No. 5,797,002, issued August 18, 1998.
13. Garman, United States Patent No. 5,819,237, issued October 6, 1998.
14. Lupien et al., United States Patent No. 5,845,266, issued December 1, 1998.
15. Ferstenberg et al., United States Patent No. 5,873,071, issued February 16, 1999.
16. Motoyama, United States Patent No. 5,913,202, issued June 15, 1999.
17. Lawrence, United States Patent No. 5,915,209, issued June 22, 1999.
18. Patterson, Jr., et al., United States Patent No. 5,915,245, issued June 22, 1999.
19. Silverman et al., United States Patent No. 5,924,082, issued June 13, 1999.
20. Keiser et al., United States Patent No. 5,950,176, issued September 7, 1999.
21. Lupien et al., United States Patent No. 5,950,177, issued September 7, 1999.
22. Garber, United States Patent No. 5,963,923, issued October 5, 1999.
23. Lupien et al., United States Patent No. 6,012,046, issued January 4, 2000.
24. Minton, United States Patent No. 6,014,643, issued January 11, 2000.
25. Rickard et al., United States Patent No. 6,016,483, issued January 18, 2000.
26. Walker et al., United States Patent No. 6,085,169, issued July 4, 2000.
27. Lupien et al., United States Patent No. 6,098,051, issued August 1, 2000.
28. Rickard et al., United States Patent No. 6,112,189, issue August 29, 2000.
29. Fletcher et al., United States Patent No. 6,119,596, issued September 19, 2000.
30. Luke et al., United States Patent No. 6,131,087, issued October 10, 2000.
31. Cristofich et al., United States Patent No. 6,173,270, issued January 9, 2001.
32. Bigus et al., United States Patent No. 6,192,354, issued February 20, 2001.
33. Martyn et al., United States Patent No. 6,195,647 issued February 27, 2001.

34. Alaia et al., United States Patent No. 6,199,050, issued March 6, 2001.
35. Daughter, III, United States Patent No. 6,263,321, issued July 17, 2001.
36. Cristofich et al., United States Patent No. 6,269,346 issued July 31, 2001.
37. Korhammer et al., United States Patent No. 6,278,982, issued August 21, 2001.
38. Howorka, United States Patent No. 6,282,521 issued August 28, 2001.
39. Shoham, United States Patent No. 6,285,989, issued September 4, 2001.
40. May, United States Patent No. 6,317,727, issued November 13, 2001.
41. Kane, United States Patent No. 6,317,728, issued November 13, 2001.
42. Lange, United States Patent No. 6,321,212, issued November 20, 2001.

#### **Foreign Documents**

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45. Miral, et al., WO 00/70506, published November 23, 2000.
46. Ketchum, et al., WO 01/22313, published March 29, 2001.
47. Zeigler, et al., WO 01/22315, published March 29, 2001.
48. Serkin, et al., WO 01/22332, published March 29, 2001.
49. Martyn, et al., WO 01/22263, published September 22, 2000.
50. Serkin, et al., WO 01/22269, published March 29, 2001.
51. Peterson, et al., WO 01/88808, published November 22, 2001.
52. Neyman, et al., WO 01/98959, published December 27, 2001.
53. Howorka, et al., WO 01/98962, published December 27, 2001.
54. Neyman, et al., WO 01/98965, published December 27, 2001.

In accordance with MPEP Sections 609 and 707.05(b), it is requested the document cited (including any cited in applicant's specification which is not repeated on the attached Form PTO-1449) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing on Form PTO-1449. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently

pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

Respectfully Submitted,

Date: January 14, 2002

By:

A handwritten signature in black ink, appearing to read "Robert J. Irvine", is written over a horizontal line. To the right of the signature is a small, stylized mark.

Robert J. Irvine

Reg. No. 41,865

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